

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** ( Not for submission under 37 CFR 1.99)

Application Number		10786752
Filing Date		2004-02-25
First Named Inventor	Christopher E. Bales et al.	
Art Unit	2109	
Examiner Name	Sherrod L. Keaton	
Attorney Docket Number	BEAS-01373US0	

U.S.PATENTS						<a href="#">Remove</a>
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5237614		1993-08-17	Weiss	
	2	5347653		1994-09-13	Flynn et al.	
	3	5956400		1999-09-21	Chaum et al.	
	4	5966707		1999-10-12	Van Huben et al.	
	5	6029144		2000-02-22	Barrett et al.	
	6	6098173		2000-08-01	Elgressy et al.	
	7	6253321	B1	2001-06-26	Nikander et al.	
	8	6275941	B1	2001-08-14	Saito et al.	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number		10786752
Filing Date		2004-02-25
First Named Inventor	Christopher E. Bales et al.	
Art Unit	2109	
Examiner Name	Sherrod L. Keaton	
Attorney Docket Number	BEAS-01373US0	

9	6341352	B1	2002-01-22	Child et al.	
10	6477575	B1	2002-11-05	Koepple et al.	
11	6484177	B1	2002-11-19	Van Huben et al.	
12	6519647	B1	2003-02-11	Howard et al.	
13	6530024	B1	2003-03-04	Proctor	
14	6587849	B1	2003-07-01	Mason et al.	
15	6654747	B1	2003-11-25	Van Huben et al.	
16	7062490	B2	2006-06-13	Adya et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

Add

**U.S.PATENT APPLICATION PUBLICATIONS**

Remove

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20020069261	A1	2002-06-06	Bellare et al.	

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10786752
Filing Date	2004-02-25
First Named Inventor	Christopher E. Bales et al.
Art Unit	2109
Examiner Name	Sherrod L. Keaton
Attorney Docket Number	BEAS-01373US0

2	20040230546	A1	2004-11-18	Rogers	
3	20050050184	A1	2005-03-03	Boden et al.	
4	20050060324	A1	2005-03-17	Johnson et al.	
5	20060085412	A1	2006-04-20	Johnson et al.	
6	20020178119	A1	2002-11-28	Griffin et al.	

If you wish to add additional U.S. Published Application citation information please click the Add button. [Add](#)

**FOREIGN PATENT DOCUMENTS**

[Remove](#)

Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> ;	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button. [Add](#)

**NON-PATENT LITERATURE DOCUMENTS**

[Remove](#)

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
	1	GEDIMINAS ADOMAVICIUS, et al., "User Profiling in Personalization Applications Through Rule Discovery and Validation", KDD '99, San Diego CA © 1999 ACM, pages 377-381.	<input type="checkbox"/>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10786752
Filing Date	2004-02-25
First Named Inventor	Christopher E. Bales et al.
Art Unit	2109
Examiner Name	Sherrod L. Keaton
Attorney Docket Number	BEAS-01373US0

2	IBRAHIM CINGIL, et al., "A Broader Approach to Personalization"; Communications of the ACM, Vol. 43, No. 6, Aug. 2000; pages 136-141.	<input type="checkbox"/>
3	CONSTANTINE STEPHANIDIS, et al., "Decision Making in Intelligent User Interfaces", IUI '97, Orlando, FL, © 1997 ACM, pages 195-202.	<input type="checkbox"/>
4	OLIVER STIEMERLING, et al., "How to Make Software Softer - Designing Tailorable Applications", DIS '97, Amsterdam, The Netherlands, © ACM 1997, pages 365-376.	<input type="checkbox"/>
5	ERIC FREUDENTHAL, et al., "dRBAC: Distributed Role-based Access Control for Dynamic Coalition Environments", Proceedings of the 22nd International Conference on Distributed Computing Systems (ICDCS '02), IEEE 2002, 10 pages.	<input type="checkbox"/>
6	ZHENG ZHANG, et al., "Designing a Robust Namespace for Distributed File Services", Reliable Distributed System, 2001. Proceedings, 20th IEEE Symposium on 28-31 October 2001, pages 162-171.	<input type="checkbox"/>
7	ATUL ADYA, et al., "FARSITE: Federated, Available and Reliable Storage for an Incompletely Trusted Environment", ACM SIGOPS Operating Systems Review, Vol. 36, Issue SI (Winter 2002). OSDI '02: Proceedings of the 5th Symposium on Operating Systems Design and Implementation, Pages 1-14.	<input type="checkbox"/>
8	THOMAS KISTLER, et al., "WebL- A Programming Language for the Web"; Computer Networks and ISDN Systems, Published by Elsevier Science B.V.; North Holland Publishing, Amsterdam, NL; Vol. 30, No. 1-7; April 1998; pages 259-270	<input type="checkbox"/>
9	MICHAEL R. LEVY, "Web Programming in Guide"; Software Practice & Experience, Wiley and Sons; Bognor Regis, GB; Vol. 28; No. 15; 25 December 1998; pages 1581-1603.	<input type="checkbox"/>
10	DAVID L. ATKINS, et al., "Mawl: A Domain-specific Language for Form-based Services"; IEEE Transactions on Software Engineering; IEEE Service Center, Los Alamos, CA, US; Vol. 25, No. 3; May 1999; pages 334-346.	<input type="checkbox"/>
11	T. HOWES, "The String Representation of LDAP Search Filters"; December 1997 (RFC 2254); © The Internet Society (1997); pages 1-8.	<input type="checkbox"/>
12	Supplementary European Search Report; Application No. 01975484.5; dated December 12, 2006; Received January 10, 2007; 2 pages.	<input type="checkbox"/>

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10786752
Filing Date	2004-02-25
First Named Inventor	Christopher E. Bales et al.
Art Unit	2109
Examiner Name	Sherrod L. Keaton
Attorney Docket Number	BEAS-01373US0

If you wish to add additional non-patent literature document citation information please click the Add button

Add

**EXAMINER SIGNATURE**

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10786752
Filing Date	2004-02-25
First Named Inventor	Christopher E. Bales et al.
Art Unit	2109
Examiner Name	Sherrod L. Keaton
Attorney Docket Number	BEAS-01373US0

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Joseph P. O'Malley/	Date (YYYY-MM-DD)	2007-02-15
Name/Print	Joseph P. O'Malley	Registration Number	36226

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.